



NEW YORK  
REGIONAL OFFICE

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
100 PEARL STREET, SUITE 20-100  
NEW YORK, NY 10004-2616

Via ECF

September 9, 2025

The Honorable William H. Orrick  
San Francisco Courthouse, Courtroom 2 – 17<sup>th</sup> Floor  
450 Golden Gate Avenue, San Francisco, CA 94102

Re: *SEC v. Swanberg*, 3:22-cv-04859-WHO

Dear Judge Orrick:

The parties in this case, Plaintiff Securities and Exchange Commission (“SEC”) and Defendant Dale Swanberg (“Swanberg”) have reached a resolution in principle that would completely resolve this litigation, subject to review and approval by the Commission. To allow the parties time to finalize the paperwork for the resolution, and for the Commission to then consider and determine whether to approve it, the parties jointly request that: (1) all pending dates in this litigation be indefinitely stayed, and (2) if the parties have not filed the paperwork reflecting the resolution with the Court by November 10, 2025, the parties file a joint status report on that date updating the Court on the finalization of the resolution and proposed future deadlines.

Respectfully Submitted,

/s/ Laura E. Meehan  
Laura E. Meehan  
U.S. Securities and Exchange  
100 Pearl Street  
New York, NY 10004  
*Counsel for Plaintiff*

/s/ William Michael, Jr.  
William Michael, Jr.  
Greenberg Traurig LLP  
*Counsel for Defendant*



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**LOCAL RULE 5-1(h)(3) ATTESTATION**

Pursuant to L.R. 5-1(h)(3), I, Laura E. Meehan, attest that all signatories identified above, and on whose behalf the filing is submitted, concur in the filing's content and have authorized the filing.

/s/ Laura E. Meehan

Laura E. Meehan